



**OFFICE OF THE SECRETARY OF STATE OF GEORGIA
SECURITIES DIVISION**

BROKER-DEALER AND BROKER-DEALER AGENT

EXAMINATIONS NOTICE

OCTOBER 3, 2018

Effective October 1, 2018, the Financial Industry Regulatory Agency (“FINRA”) will restructure the Representative-Level Qualification Examination Program applicable to Broker-Dealers and Broker-Dealer Agents. The restructuring of the Representative-Level Qualification Examination Program establishes a two-tier examination requirement by introducing the Securities Industry Essentials (SIE) Exam, a general knowledge-based examination, and by transforming the representative-level examinations into specialized knowledge-based examinations. Therefore, this notice is to inform applicants intending on registering with the State of Georgia as a Broker-Dealer or a Broker-Dealer Agent of the following:

The Commissioner of Securities for the State of Georgia (“Commissioner”) recognizes the following examinations for meeting the applicable compliance standards set forth in Rule 590-4-5-.02:

1. Applicants applying to be registered as a broker-dealer must pass the Series 63 Uniform Securities Agent State Law Examination and any applicable required FINRA examination(s).
2. Applicants applying to be registered as a broker-dealer agent must pass the Series 63 Uniform Securities Agent State Law Examination and any applicable required FINRA examination(s).

This notice shall be effective as of this date and shall remain effective until such time as it is modified by the Commissioner.